

**DEPARTMENT OF CORRECTIONS
COMMUNITY CORRECTIONS PROGRAM
HOME CONFINEMENT UNIT
PERFORMANCE AUDIT
DECEMBER 2003**

**DEPARTMENT OF ADMINISTRATION
BUREAU OF AUDITS
ONE CAPITOL HILL
PROVIDENCE, RI 02908-5889**



STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS

Department of Administration
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DEPARTMENT OF CORRECTIONS
COMMUNITY CORRECTIONS PROGRAM
HOME CONFINEMENT UNIT
PERFORMANCE AUDIT
DECEMBER 2003

EXECUTIVE SUMMARY

The Department of Corrections (DOC) needs to increase its support of the Community Corrections Program in evaluating the effectiveness of the Home Confinement Program and in developing alternatives to incarceration. This support should include methodologies to collect and analyze all relevant factors and data to generate accurate cost analyses.

The number of offenders sentenced into community confinement is declining in a period in which there is a marked increase in inmate population at the DOC. The DOC needs to enhance its apprising of the Judiciary of the availability of community confinement as a sentencing option to incarceration. Also, the DOC should consider using its authority granted by RIGL 42-56-20.2 to administratively reclassify prison sentencing of non-violent offenders into community confinement based on a sound risk assessment methodology.

The DOC needs to develop written procedures for parole officers for their supervision and caseload management of electronically monitored inmates. Further, DOC should develop uniform standards in maintaining case files for counselors and parole officers for the inclusion of all relevant information for electronically monitored inmates.

The DOC should develop policies and procedures for the assessment, collection, and reporting of user fees for electronically monitored inmates. These policies should consider the applicability of a sliding scale in determining an individual's ability to pay. All assessments, collections and unpaid balances of user fees should be maintained in accordance with the requirements set forth by the Office of Accounts and Control. Accounts receivable reports need to be developed and submitted to counselors and parole officers to improve the collections of user fees. All receipts collected need to be adequately safeguarded until deposited and reconciled to receipts posted to the RI-SAIL system.

The DOC does not permit correctional officers to carry weapons for either site visits or for the apprehending of sentenced violators. Since the risk of injury is always present DOC should re-examine its policies and procedures related to the on-site visits of offenders and with the apprehension and return of violators to the Intake Center.

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DECEMBER 2003

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December 24, 2003

Mr. A.T. Wall, Director
Department of Corrections
40 Howard Avenue
Cranston, RI 02920-3082

Dear Mr. Wall:

We have completed a performance audit of the Department of Corrections, Community Corrections Program, Home Confinement Unit. Our audit was conducted in accordance with Sections 35-7-3 and 35-7-4 of the Rhode Island General Laws.

The findings and recommendations included herein have been discussed with management and we have considered their comments in the preparation of this report. Management's responses to our recommendations are included in this report.

In accordance with Section 35-7-4 of the General Laws, we will review the status of the Department of Correction's corrective action plan within 6 months from the date of this report.

Sincerely,

Frank J. Collaro, Jr., CFE, CGFM
Acting Chief, Bureau of Audits

FJC:pp

DEPARTMENT OF CORRECTIONS
COMMUNITY CORRECTIONS PROGRAM
HOME CONFINEMENT UNIT
PERFORMANCE AUDIT
DECEMBER 2003

INTRODUCTION

Objectives, Scope, and Methodology

We have conducted a performance audit of the Department of Corrections, Community Corrections, Home Confinement Program for the fiscal year ended June 30, 2002 and the period July 1, 2002 to April 30, 2003. Our objectives were to evaluate the adequacy and effectiveness of managerial controls, the economy of resources, and compliance with significant laws and regulations applicable to the program. Our audit was made in accordance with *The Standards for the Professional Practice of Internal Auditing* issued by the Institute of Internal Auditing.

To accomplish our objectives, we obtained an understanding of the program operations to ascertain whether the results were consistent with the goals and objectives of the program and were carried out as planned. We also reviewed the reliability and integrity of financial and operating information. We interviewed responsible personnel, performed tests of the accounting records and other such auditing procedures, as we considered necessary in the circumstances.

The findings and recommendations included herein have been discussed with management, and we have considered their comments in the preparation of our report. Section 35-7-4 c of the Rhode Island General Laws requires the auditee to respond within 60 days to all recommendations in this report. Management's response to our audit findings and recommendations are included in our report.

Background

Home confinement is part of the Community Corrections program within the Department of Corrections and provides a structured alternative to institutional incarceration through the supervision of individuals using electronic monitoring. All participants are required to wear an ankle bracelet that acts as a transmitter when used with a field monitoring device or receiver, connected to the phone line in the offender's home. The receiver monitors the presence or absence of an offender within a specified range. All participants are electronically monitored to ensure compliance with pre-approved daily schedules. Per RIGL 42-56-20.2, they must either work or go to school, and are permitted to go to court, medical appointments, counseling, and religious services.

This program services a range of offenders and provides a sentencing option to imprisonment for the District, Superior, and Family Courts for non-violent offenders. It can also serve as a more restrictive option for parolees and inmates awaiting trial or as a condition of bail. As a major benefit to the state, the program provides a means of controlling the inmate population within the correctional facilities complex, for the purpose of avoiding overcrowding.

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FINDINGS AND RECOMMENDATIONS

Strategic and Tactical Controls:

Controls are necessary to effectively guide an entity in choosing correct paths of activities. In the broadest sense these controls are referred to as strategic and tactical. Strategic controls include planning, organizing, directing, and monitoring activities that achieve the organization's long-range (2 to 5 years) mission and its related goals and objectives. Tactical controls include the planning, organizing, directing, and monitoring of these strategic controls on an annual basis. These controls must be constantly measured and evaluated to identify obstacles to success.

The Department of Corrections has established the following goals and objectives for their Community Corrections Program:

- Provide sentencing options for selected inmates who pose a manageable risk to the community;
- Enhance public safety and provide rehabilitation opportunities to offenders in the community; and
- Provide the courts with accurate and comprehensive information to aid them in effective decision-making.

The following findings on controls along with our recommendations offer insight to the importance of establishing and adhering to these controls in the pursuit of achieving these goals and objectives.

Performance Measurement As required by R.I. General Law 35-3-24.1 the Community Corrections Program (CCP) submits a performance measurement on their Home Confinement Unit (HCU) entitled *Percentage of Closed Cases Successfully Completing Terms of Home Confinement* as part of their budget for the ensuing fiscal year. This law requires that the measurement be "stated in terms of results obtained," or stated otherwise, as an outcome measure. An outcome measure reports on the results of activities or services and therefore, should have a correlation with an agency's stated goals and objectives. The performance indicator submitted for the HCU is an output measure, as it discloses the number of offenders who complete their terms of home confinement successfully as a percentage of the total cases closed. It does not measure the core program functions; that is, whether this program adequately protects the public from selected inmates who pose a manageable risk to the community, and whether it adequately provides rehabilitation opportunities to offenders within the community. Both of these are stated objectives for this unit.

All performance measurements should be supported by an internal control system to provide reasonable assurance over the effectiveness and efficiency of operations, a database or other record system to capture essential performance data, and a performance assessment system to measure the degree of success towards its goals and objectives. When these systems are properly supported and maintained they provide a means to make necessary operating revisions.

The CCP was unable to report on any level of success in program objectives for inmates placed in the Electronic Monitoring/Home Confinement Program due to weaknesses in all of the above-mentioned systems. The information and communication aspects of the internal control system cannot identify and capture data to generate reports. Performance data related to successful program completion, violations, and recidivism is not available in any form. While program managers, including the Planning and Research Unit within the CCP recognize the importance and need for such information, they cite a lack of funding and staff as the main reasons that these weaknesses exist. Without the ability to measure outcome performance for inmates supervised with electronic monitoring it is difficult to do comprehensive planning and evaluation of whether electronic monitoring is achieving the goals and objectives established for the CCP.

Based on a study by the United States Justice Department in 2002, Rhode Island led the nation in the percentage of prison growth. The necessity for CCP to evaluate the cost effectiveness of potential program expansion, other initiatives or alternatives to incarceration is becoming more critical. In our opinion, program analysis is necessary to justify the Home Confinement as a viable alternative to overcrowding.

Recommendation

1. The Department of Corrections needs to develop a data collection methodology that will provide the necessary data to measure and report on key program outcomes. Such information would significantly enhance the ability of the CCP to evaluate the HCU in terms of results obtained. This will provide the basis for program development toward effective alternatives to incarceration.

Management's Response: Accepted

Cost of Home Confinement The cost of having an offender supervised with electronic monitoring and confined at home is less than the cost to incarcerate the individual. The Department of Corrections (DOC) published a report on *Community Confinement* dated November 2002 stating that for the fiscal year ended June 30, 2001, it cost \$12.07 per day or \$4,406 per year for home confinement, as apposed to incarceration that costs \$95.17 per day or \$34,735 per year. Additional information provided by DOC for the fiscal year ended June 30, 2002, showed per day costs of \$20.91 and \$105.90 with yearly costs of \$7,632 and \$38,654, respectively. These amounts were calculated using total expenditures and an average number of offenders for these years in each category.

This methodology has limitations, as some costs are fixed or dependent on staffing requirements, contracts and other factors. In addition, at least for fiscal year 2002 home confinement cost data, there is no evidence that offenders' user fees collected have been included

in the calculations. Consequently, accurate and comprehensive cost analyses for strategic planning and development of program goals and objectives including alternatives to incarceration cannot be accomplished.

Recommendation

2. DOC needs to devise methodologies that include all relevant factors and variables to generate accurate cost analyses of the HCU. This will provide the necessary data in the evaluation of the effectiveness of the Electronic Monitoring/Home Confinement Program as well as providing the basis for potential cost savings in alternatives to incarceration.

Management's Response: Accepted

Community Confinement Population The community confinement population supervised with electronic monitoring consists of offenders sentenced, adjudged, waiting trial or paroled. The Department of Corrections (DOC) does maintain data related to overall populations within the various correctional facilities or by categories related to the individuals and their types of offenses. We reviewed this DOC population data for the Community Corrections Program (CCP) for the period July 1, 2001, thru February 28, 2003, and noted the following:

- Total Community Corrections average population declined by 12%.
- Excluding the Women's Transitional Housing and Parole the average population declined by 22%.
- The average monthly "sentenced" high was 138 in July 2001 and has declined steadily to a low of 78 by February 2003, or a decline of 43%.
- On an average annualized basis, the decline in the sentenced population was 32%.
- Total population for all DOC units for the same period increased by 8%.

Additionally, a June 30, 2002, study conducted by the Department of Justice, Bureau of Justice Statistics reported that Rhode Island led the nation with a 17.4 percent increase in inmate population between 2001 and 2002.

The steady decline in the number of offenders sentenced into community confinement as noted above may, in part, be due to a decline in the number of judges using this alternative to incarceration. While Community Corrections personnel have advised us that this sentencing option has been discussed with the presiding justice of the Superior Court, additional presentations of comprehensive information to the Judiciary could be beneficial.

RIGL 42-56-20.2 grants the Director of the DOC discretionary authority to reclassify the prison sentencing of non-violent offenders into community confinement. The current and all previous directors have never exercised this discretionary authority. As recently as May 2002 the DOC's Planning and Research Unit prepared a study for management that identified a number of inmates that could be eligible for administrative classification to community confinement.

While DOC has current inmate population data and must keep populations below certain levels, there is a lack of assessment and measurement of outcomes due to inadequate information. The increasing overall inmate population and the declining community confinement population indicates the need to strengthen efforts to meet the program's goals and objectives, as well as improving cost efficiencies towards these goals.

Recommendations

3. DOC should continue to apprise the Judiciary of the availability of community confinement as a sentencing option to incarceration.

Management's Response: Accepted

4. DOC, as part of its overall community corrections strategy, should consider using its authority for administrative classification under RIGL 42-56-20.2 based on a sound risk assessment methodology.

Management's Response: Accepted

Operational Controls:

Operating Controls are needed to provide for reasonable assurance that specific goals and objectives will be achieved. These controls combine standard policies and procedures to promote continuity and to optimize economy and efficiency of day-to-day operations. Operating controls that include planning, organizing, directing, and monitoring of all daily operations help to ensure that management's directives are carried out as planned at all levels of an organization.

Electronic Monitoring Supervision/Caseload Management The individuals who are supervised thru electronic monitoring report to either the Home Confinement Unit (HCU) counselors or the Parole Unit (PU) officers. Each of these units within the Community Corrections Program uses their own operating policies and procedures for case management. The HCU counselors generally require a greater degree of accountability for individuals under their supervision and are guided by a standard operating procedure (SOP) entitled "Caseload/Report Day." This SOP outlines the types of documentation and verifications required from offenders in support of their employment hours and other activities outside their homes, as well as other relevant information relating to caseload management. The PU has not developed written guidelines in this area for use by its parole officers, but rather relies on statutory requirements and the individual experiences of officers in overseeing their parolees' activities.

We selected 45 out of 220 active case folders from March 2003 maintained by the counselors and parole officers to determine if there was compliance with procedures where applicable, and to determine if case management and supervision were adequately documented. While overall case management and supervision was adequately documented, we did find variations in the manner of recording information among counselors and parole officers, and in some instances, documentation was difficult to locate in the files. The use of standardized forms or summaries of supervision requirements and activities would improve the efficiency and effectiveness of both the case management and management oversight of that process.

Recommendations

5. DOC should establish written procedures describing caseload management requirements for use by parole officers for the oversight of electronically monitored parolees.

Management's Response: Accepted

6. DOC should establish a consistent, uniform, efficient, and effective method used by counselors and parole officers for the inclusion of relevant information in case management files for individuals supervised with electronic monitoring.

Management's Response: Accepted

Assessment and Collection of User Fees The individuals supervised with electronic monitoring are assessed a user fee of \$4 per day. Our review of the process used for the assessment and collection of these fees identified weaknesses in several areas that need to be strengthened to improve efficiency, effectiveness, and to adequately comply with state procedures and law.

The DOC assesses these user fees for reimbursement of the cost of the program based on RIGL 42-56-20.2 (f) that states in part that "Once assessed, those costs shall become a lawful debt and owing to the state by that person." The individuals in the program are made aware of the responsibility to pay these fees upon entering the program and agree to them, along with other requirements, by a signed document. Home confinement counselors and parole officers are assigned the responsibility of collecting the user fee during their scheduled meetings with these individuals. DOC has the right to waive some or all of the fees if they deem that the individual is unable to pay at any point in time. The assessment of user fees to reimburse for the cost of electronic monitoring is a widely used practice by many correctional facilities across the nation. In addition, the use of a sliding scale based on ability to pay seems to be the practice used in many of these jurisdictions.

Policy #A-16, entitled "Accounts Receivable" of the *Procedural Handbook* issued by the Office of Accounts and Control requires all department and agencies to maintain accurate and complete records of all their account receivables. The weaknesses at DOC in the assessment and collection of the user fees include a lack of adequate policies and procedures for the entire accounts receivable process. Some of the specific weaknesses are:

- The blanket assessment of \$4 per day for all individuals and the frequent use of fee waivers.
- Limitations in the database used to account for fee assessments and collections, and the inability to report outstanding balances to management, counselors and parole officers.
- Lack of adequate oversight and controls over the collection process and to ensure that state procedures are adhered to.
- Lack of adequate accounting for and safeguarding of fee payments. Checks may be kept in unlocked drawers for several weeks before being deposited.

We performed an analytical review of the data for the fiscal year ended June 30, 2002, and compared the receipts for user fees listed for the program per the Controller's records (\$255,412) to the average community confinement population (supplied by DOC) times 365 days at \$4 per day (\$343,100) and the result was a collection rate of 74.4%. Given the lack of policies and procedures and the specific process weaknesses, this estimated collection rate indicates that efforts are being made to collect the user fees. However, there is a large uncollected cumulative balance that goes back to 1995 that DOC is attempting to manage by either collecting or writing off as uncollectable.

Recommendations

7. DOC needs to develop policies and procedures for the assessment and collection of electronic monitoring user fees based on the requirements of Community Corrections Home Confinement and Parole Units. These policies should consider the applicability of a sliding scale regarding an individual's ability to pay.

Management's Response: Accepted

8. Ensure that state procedures for accounts receivable, uncollectable accounts, and collections are adhered to in accordance with the Office of Accounts and Control Policy A-16.

Management's Response: Accepted

9. Develop and submit timely accounts receivable reports that include individual user account information for management. This will provide needed oversight for counselors and parole officers in improving the collections of user fees in performing their overall case management.

Management's Response: Accepted

Recommendations – (Cont'd)

10. Improve the accounting for and safeguarding of fees collected. These improvements should include the use of a safe or other secured area for all fees collected. All receipts need to be recorded, deposits made at least once per week with copies of deposit slips retained, and reconciled to receipts posted to the Controller's records.

Management's Response: Accepted

Community and Correctional Officer Safety The CCP is responsible for promoting the rehabilitation of offenders while providing for the protection to the public. In doing so, DOC needs to manage and mitigate the risks associated with all aspects of the program in an efficient and effective manner.

The CCP utilizes correctional officers who have various duties and responsibilities related to program monitoring and security. Among these duties are the requirements for residence checks, home visits, work site visits and drive-bys. The duties also include the apprehension and return to the Intake Center of sentenced offenders who have committed program violations. This is done through the use of procedures developed by department management that requires contacting local police and awaiting their assistance before apprehending the offender. This procedure applies only to sentenced inmates and recently includes some individuals awaiting trial without a home plan. Local police apprehends all other categories, including bail violators, the vast majority of those awaiting trial, and electronically monitored parolees.

The DOC does not allow correctional officers to carry weapons for either the site visits or the picking up of sentenced violators. However, correctional officers are certified to use weapons and state law does allow them to carry them. Although DOC does not allow correctional officers to carry weapons it has recently determined that the officers may be at risk and additional security measures are being taken. These include the procurement of bulletproof vests currently in process and consideration in providing officers with pepper spray and collapsible nightsticks.

Although we were not aware of any serious incidents occurring while correctional officers were participating in the apprehension of sentenced violators, that risk is always present. The proposed actions by DOC to enhance correctional officer security indicate the recognition of risk of officer safety. We, therefore, believe it prudent for DOC to re-examine their current policy changes and consider the overall risk mitigation value as well as potential cost/benefit analyses (reduction in overtime costs) of having local police apprehend the sentenced violators as they do for all other categories. Conversely, consideration should also be given in allowing correctional officers the option of carrying weapons during apprehensions. In either case, the overall objective must be to mitigate risk based on consideration of all the factors and variables and the needs of all program stakeholders.

Recommendation

11. DOC should re-examine its policies and procedures related to the on-site visits of offenders and with the apprehension and return to the Intake Center of program violators.

Management's Response: Accepted

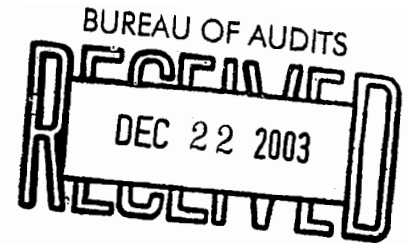
STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS



Department of Corrections

ASHBEL T. WALL, II
Director

December 16, 2003



Frank Collaro, Jr.
Acting Chief
Bureau of Audits
Department of Administration
One Capitol Hill
Providence, Rhode Island 02908-5889

Dear Mr. Collaro:

Enclosed please find the Rhode Island Department of Corrections response to the audit report completed on the Home Confinement Unit for the fiscal year ending June 30, 2002 and the period of July 1, 2002 to April 30, 2003.

Recommendations and Responses:

Department of Corrections
Community Corrections Program
Home Confinement Unit
Performance Audit
August 2003

RECOMMENDATION #1:

The Department of Corrections needs to develop a data collection methodology that will provide the necessary data to measure and report on key program outcomes. Such information would significantly enhance the ability of the CCP to evaluate the HCU in terms of results obtained. This will provide the basis for program development toward effective alternatives to incarceration.

RESPONSE: ACCEPTED

New reports for data collection have been developed in the Home Confinement Access Database including Program Fees Collected by Month and Breakdowns for Positive and Negative Terminations. Data from these reports were used for the Fiscal Year 2003 Annual Report in order to present key performance indicators. Performance measures will be developed to evaluate the Community Confinement Program goals and objectives, a) provide sentencing option; b) enhance public safety and provide rehabilitative options; c) provide court with accurate and comprehensive information to aid them in decision-making.

RECOMMENDATION #2:

DOC needs to devise methodologies that include all relevant factors and variables to generate cost analysis of the HCU. This will provide the necessary data in the evaluation of the effectiveness of the Electronic Monitoring/Home Confinement Program as well as providing the basis for potential cost savings in alternatives to incarceration.

RESPONSE: ACCEPTED

A comprehensive cost analysis for strategic planning and development of program goals and initiatives will be developed. Cost for Home Confinement as opposed to electronic monitoring parole will be calculated separately to avoid confusion relating to cost.

All program fee collections have been and continue to be deposited directly into the General Funds. Collections are recorded in the Home Confinement Access database, so that the data is available to be used toward more accurate cost analysis. Home Confinement and parolees on electronic monitoring need to be separate.

RECOMMENDATION #3:

DOC should continue to apprise the Judiciary of the availability of community confinement as a sentencing option to incarceration.

RESPONSE: ACCEPTED

The Department will continue to provide the judiciary with monthly statistical reports as defined in RIGL 42-56-20.2. The Department will also meet when appropriate with the judiciary to update them regarding Home Confinement as necessary (examples: changes in statute, change in policy/procedure, technology related changes).

RECOMMENDATION #4:

DOC, as part of its overall community corrections strategy, should consider using its authority for administrative classification under RIGL 42-56-20.2 based on a sound risk assessment methodology.

RESPONSE: ACCEPTED

The Department of Corrections is in the process of reviewing use of administrative classification under RIGL 42-56-20.2. At the present time eligible offenders are not administratively classified to Home Confinement.

RECOMMENDATION #5:

DOC should establish written procedures describing caseload management requirements for use by parole officers for the oversight of electronically monitored parolees.

RESPONSE: ACCEPTED

The Department of Corrections/Adult Probation and Parole is in the process of developing guidelines and procedures for the Parole Unit. Specifically, standard operating procedures will be developed for case management to include case plan summary and special conditions including EMP.

RECOMMENDATION #6:

DOC should establish a consistent, uniform, efficient, and effective method used by counselors and parole officers for the inclusion of relevant information in case management for individuals supervised with electronic monitoring.

RESPONSE: ACCEPTED

The Department of Corrections is in the process of enhancing standardized operating procedures for Community Confinement Counselors and Probation and Parole Officers assigned to the Parole Unit.

RECOMMENDATION #7:

DOC needs to develop policies and procedures for the assessment and collection of electronic monitoring user fees based on the requirements of Community Corrections Home Confinement and Parole Units. These policies should consider the applicability of a sliding scale regarding an individual's ability to pay.

RESPONSE: ACCEPTED

The Home Confinement Unit has procedures which address the collection of electronic monitoring user fees, based on the \$4/day fee. Home Confinement will work in consultation with DOC Legal and Financial Resources in addressing this issue to enforce the possibility of sliding scale fee.

RECOMMENDATION #8:

Ensure that state procedures for accounts receivable, uncollectible accounts, and collections are adhered to in accordance with the Office of Accounts and Control Policy A-16.

RESPONSE: ACCEPTED

Home Confinement, Financial Resources and MIS staff will collaboratively work toward implementation of an accounting system with the Office of Accounts and Control.

RECOMMENDATION #9:

Develop and submit timely accounts receivable reports that include individual user account information for management. This will provide needed oversight for counselors and parole officers in improving the collections of user fees in performing their overall case management.

RESPONSE: ACCEPTED

The Home Confinement Access Database does generate a report listing an offender's outstanding balance. Community Program Counselors do request these reports from the Senior Word Processing Typist, as part of their overall case management.

RECOMMENDATION #10:

Improve the accounting for and safeguarding of fees collected. These improvements should include the use of a safe or other secured area for all fees collected. All receipts need to be recorded, deposits made at least once per week with copies of deposit slips retained, and reconciled to receipts posted to the RI-SAIL system.

RESPONSE: ACCEPTED

All money orders are stored in a locked box until the Senior Word Processing Typist data enters all collections in the Home Confinement Access Database. Deposits are made once a week at inmate accounts. Copies of deposit slips are retained and kept on file. Coordination of safeguarding of fees and receipts posted to the RI-SAIL will need to take place in conjunction with Financial Resources. The Home Confinement program will work with Financial Resources with a specific plan of action addressing this issue.

RECOMMENDATION #11:

DOC should re-examine its policies and procedures related to the on-site visits of offenders and with the apprehension and return to the Intake Center of program violators.

RESPONSE: ACCEPTED

The DOC is in the process of finalizing standard operating procedures for home and field visits, which includes apprehension and return of offenders. The purpose of this policy is to establish a clear understanding of roles and responsibilities relating to on site of visits.

The contact person in regard to the Home Confinement Audit will be the Associate Director of Community Corrections, Jeffrey Renzi.

If you have any questions or concerns regarding the Department's response to this audit please call me at 462-2611.

Sincerely,

A handwritten signature in black ink, appearing to read "A. T. Wall". The signature is fluid and cursive, with the first letters of the first and last names being capitalized and prominent.

Ashbel T. Wall, II
Director

**COMMUNITY CONFINEMENT PROGRAM
PERFORMANCE AUDIT IMPLEMENTATION PLAN
2003-2004**

RECOMMENDATION		UNIT(S) RESPONSIBLE	PROJECTED IMPLEMENTATION
1. The Department of Corrections needs to develop a data collection methodology that will provide the necessary data to measure and report on key program outcomes. Such information would significantly enhance the ability of the CCP to evaluate the HCU in terms of results obtained. This will provide the basis for program development toward effective alternatives to incarceration.		Community Confinement Program	January 30, 2004
2. DOC needs to devise methodologies that include all relevant factors and variables to generate cost analysis of the HCU. This will provide the necessary data in the evaluation of the effectiveness of the Electronic Monitoring/Home Confinement Program as well as providing the basis for potential cost savings in alternatives to incarceration.		Financial Resources Unit Planning Unit Community Confinement Program	May 28, 2004
3. DOC should continue to apprise the Judiciary of the availability of community confinement as a sentencing option to incarceration.		Community Confinement Program Community Corrections	February 28, 2004
4. DOC, as part of its overall community corrections strategy, should consider using its authority for administrative classification under RIGL 42-56-20.2 based on a sound risk assessment methodology.		Director's Office	Director's Discretion
5. DOC should establish written procedures describing caseload management requirements for use by parole officers for the oversight of electronically monitored parolees.		Adult Probation and Parole	May 28, 2004
6. DOC should establish a consistent, uniform, efficient, and effective method used by counselors and parole officers for the inclusion of relevant information in case management for individuals supervised with electronic monitoring.		Community Confinement Program Adult Probation and Parole	April 30, 2004

**COMMUNITY CONFINEMENT PROGRAM
PERFORMANCE AUDIT IMPLEMENTATION PLAN
2003-2004**

7. DOC needs to develop policies and procedures for the assessment and collection of electronic monitoring user fees based on the requirements of Community Corrections Home Confinement and Parole Units. <i>These policies should consider the applicability of a sliding scale regarding an individual's ability to pay.</i>	Community Confinement Program Financial Resources Adult Probation and Parole	March 31, 2004
8. Ensure that state procedures for accounts receivable, uncollectable accounts, and collections are adhered to in accordance with the Office of Accounts and Control Policy A-16.	Financial Resources Unit	April 30, 2004
9. Develop and submit timely accounts receivable reports that include individual user account information for management. This will provide needed oversight for counselors and parole officers in improving the collections of user fees in performing their overall case management.	Community Confinement Program Adult Probation and Parole	April 30, 2004
10. Improve the accounting for and safeguarding of fees collected. These improvements should include the use of a safe or other secured area for all fees collected. All receipts need to be recorded, deposits made at lease once per week with copies of deposit slips retained, and reconciled to receipts posted to the RI-SAIL system.	Community Confinement Program	January 30, 2004
11. DOC should re-examine its policies and procedures related to the on-site visits of offenders and with the apprehension and return to the Intake Center of program violators.	Financial Resources Unit Community Corrections	February 27, 2004